

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANT(S): Sheng Liang *et al.*

APPLICATION NO.: 09/767,365

FILING DATE: January 22, 2001

TITLE: SCALABLE DERIVATIVE SERVICES

EXAMINER: Unknown

GROUP ART UNIT: 2151

ATTY. DKT. NO.: 22271-05227

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10 in an envelope addressed to: Box Provisional Patent Application, Commissioner for Patents, Washington, D.C. 20231 on the date shown below. EXPRESS MAIL NO: EL541496322US.

Dated: 2 August 2001.

By:

Daniel R. Brownstone, Reg. No.: 46,581

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

RESPONSE TO NOTICE OF INCOMPLETE REPLY

SIR:

Responsive to Notice to File Missing Parts dated March 2, 2001 and the Notice of Incomplete Reply received in the above-identified patent application,

☒ Enclosed are:

- ☒ Copy of the Notice of Incomplete Reply;
- ☒ Eight (8) sheets substitute drawings (Figs 1- 8);
- ☒ Payment in the amount of \$250.00 for the additional extension of time fee;
- ☒ Copy of the original request for a two month extension of time to respond to the Notice of Missing Parts and payment of fee.

08/08/2001 BABRAHA1 00000069 09767365

01 FC:217

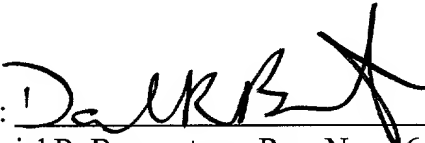
250.00 OP

PATENT

☒ Applicant claims small entity status under 37 C.F.R. § 1.27.

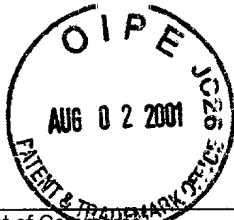
Respectfully submitted,
SHENG LIANG, HONG ZHANG, ABHISHEK
CHAUHAN, RAJIV MIRANI AND OLIVER
CHANG

Dated: 2 Aug 2001

By: 
Daniel R. Brownstone, Reg. No.: 46,581
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (415) 875-2358
Fax.: (415) 281-1350

22271/05227/SF/5055229.1

EXPRESS MAIL NO: EL541496322US



PTO/SB/17 (10-00)(modified)
Approved for use through 09/29/01, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified) Rev. 10/2000	U.S. Department of Commerce Patent and Trademark Office	Complete if Known	
FEE TRANSMITTAL		Application Number	09/767,365
		Filing Date	January 22, 2001
		First Named Inventor	Sheng Liang et al.
		Group Art Unit	2151
		Examiner Name	Unknown
TOTAL AMOUNT OF PAYMENT		Attorney Docket Number	22271-05227
Subtotal (1) + Subtotal (2) + Subtotal (3) =		(\$) 250.00	

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																											
1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.† <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Other		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr> <td>105/\$130</td> <td>205/\$65</td> <td>Surcharge - late filing fee or oath</td> <td><input type="text"/></td> </tr> <tr> <td>127/\$50</td> <td>227/\$25</td> <td>Surcharge-late provisional filing fee or cover sheet</td> <td><input type="text"/></td> </tr> <tr> <td>147/\$2,520</td> <td>147/\$2,520</td> <td>For filing a request for reexamination</td> <td><input type="text"/></td> </tr> <tr> <td>115/\$110</td> <td>215/\$55</td> <td>Extension for response within first month†</td> <td><input type="text"/></td> </tr> <tr> <td>116/\$390</td> <td>216/\$195</td> <td>Extension for response within second month†</td> <td><input type="text"/></td> </tr> <tr> <td>117/\$890</td> <td>217/\$445</td> <td>Extension for response within third month†</td> <td><input type="text"/></td> </tr> <tr> <td>118/\$1,390</td> <td>218/\$695</td> <td>Extension for response within fourth month†</td> <td><input type="text"/></td> </tr> <tr> <td>128/\$1,890</td> <td>228/\$945</td> <td>Extension for response within fifth month†</td> <td><input type="text"/></td> </tr> <tr> <td>119/\$310</td> <td>219/\$155</td> <td>Notice of Appeal</td> <td><input type="text"/></td> </tr> <tr> <td>141/\$1,240</td> <td>241/\$620</td> <td>Petition to revive unintentionally abandoned application</td> <td><input type="text"/></td> </tr> <tr> <td>142/\$1,240</td> <td>242/\$620</td> <td>Utility Issue Fee (Or Reissue)</td> <td><input type="text"/></td> </tr> <tr> <td>143/\$440</td> <td>243/\$220</td> <td>Design Issue Fee</td> <td><input type="text"/></td> </tr> <tr> <td>122/\$130</td> <td>122/\$130</td> <td>Petitions to the Commissioner</td> <td><input type="text"/></td> </tr> <tr> <td>126/\$180</td> <td>126/\$180</td> <td>Submission of Information Disclosure Statement</td> <td><input type="text"/></td> </tr> <tr> <td>179/\$710</td> <td>279/\$355</td> <td>Request for Continued Examination (RCE)</td> <td><input type="text"/></td> </tr> <tr> <td>581/\$40</td> <td>581/\$40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td><input type="text"/></td> </tr> <tr> <td>146/\$710</td> <td>246/\$355</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td><input type="text"/></td> </tr> <tr> <td>149/\$710</td> <td>249/\$355</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td><input type="text"/></td> </tr> <tr> <td colspan="2">Other fee (specify):</td> <td>Additional extension fee for Response to Notice of Incomplete Reply.</td> <td>250</td> </tr> <tr> <td colspan="2">Other fee (specify):</td> <td></td> <td><input type="text"/></td> </tr> <tr> <td colspan="3">SUBTOTAL (3)</td> <td>(\$)250.</td> </tr> </tbody> </table>				Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	<input type="text"/>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>	147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>	115/\$110	215/\$55	Extension for response within first month†	<input type="text"/>	116/\$390	216/\$195	Extension for response within second month†	<input type="text"/>	117/\$890	217/\$445	Extension for response within third month†	<input type="text"/>	118/\$1,390	218/\$695	Extension for response within fourth month†	<input type="text"/>	128/\$1,890	228/\$945	Extension for response within fifth month†	<input type="text"/>	119/\$310	219/\$155	Notice of Appeal	<input type="text"/>	141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	<input type="text"/>	142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	<input type="text"/>	143/\$440	243/\$220	Design Issue Fee	<input type="text"/>	122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>	126/\$180	126/\$180	Submission of Information Disclosure Statement	<input type="text"/>	179/\$710	279/\$355	Request for Continued Examination (RCE)	<input type="text"/>	581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>	146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>	149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>	Other fee (specify):		Additional extension fee for Response to Notice of Incomplete Reply.	250	Other fee (specify):			<input type="text"/>	SUBTOTAL (3)			(\$)250.
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																										
105/\$130	205/\$65	Surcharge - late filing fee or oath	<input type="text"/>																																																																																										
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>																																																																																										
147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>																																																																																										
115/\$110	215/\$55	Extension for response within first month†	<input type="text"/>																																																																																										
116/\$390	216/\$195	Extension for response within second month†	<input type="text"/>																																																																																										
117/\$890	217/\$445	Extension for response within third month†	<input type="text"/>																																																																																										
118/\$1,390	218/\$695	Extension for response within fourth month†	<input type="text"/>																																																																																										
128/\$1,890	228/\$945	Extension for response within fifth month†	<input type="text"/>																																																																																										
119/\$310	219/\$155	Notice of Appeal	<input type="text"/>																																																																																										
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	<input type="text"/>																																																																																										
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	<input type="text"/>																																																																																										
143/\$440	243/\$220	Design Issue Fee	<input type="text"/>																																																																																										
122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>																																																																																										
126/\$180	126/\$180	Submission of Information Disclosure Statement	<input type="text"/>																																																																																										
179/\$710	279/\$355	Request for Continued Examination (RCE)	<input type="text"/>																																																																																										
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>																																																																																										
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>																																																																																										
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>																																																																																										
Other fee (specify):		Additional extension fee for Response to Notice of Incomplete Reply.	250																																																																																										
Other fee (specify):			<input type="text"/>																																																																																										
SUBTOTAL (3)			(\$)250.																																																																																										
1. FILING FEE <table border="1"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr> <td>101/\$710</td> <td>201/\$355</td> <td>Utility Filing</td> <td><input type="text"/></td> </tr> <tr> <td>106/\$320</td> <td>206/\$160</td> <td>Design Filing</td> <td><input type="text"/></td> </tr> <tr> <td>108/\$710</td> <td>208/\$355</td> <td>Reissue</td> <td><input type="text"/></td> </tr> <tr> <td>114/\$150</td> <td>214/\$75</td> <td>Provisional Filing</td> <td><input type="text"/></td> </tr> <tr> <td colspan="3">SUBTOTAL (1)</td> <td>(\$)0.00</td> </tr> </tbody> </table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	101/\$710	201/\$355	Utility Filing	<input type="text"/>	106/\$320	206/\$160	Design Filing	<input type="text"/>	108/\$710	208/\$355	Reissue	<input type="text"/>	114/\$150	214/\$75	Provisional Filing	<input type="text"/>	SUBTOTAL (1)			(\$)0.00	2. CLAIMS <table border="1"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr> <td>103/\$18</td> <td>203/\$9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>102/\$80</td> <td>202/\$40</td> <td>Independent claims in excess of 3</td> </tr> <tr> <td>104/\$270</td> <td>204/\$135</td> <td>Multiple dependent claim</td> </tr> <tr> <td>109/\$80</td> <td>209/\$40</td> <td>Reissue independent claims over original patent</td> </tr> <tr> <td>110/\$18</td> <td>210/\$9</td> <td>Reissue claims in excess of 20 and over original patent</td> </tr> </tbody> </table>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	103/\$18	203/\$9	Claims in excess of 20	102/\$80	202/\$40	Independent claims in excess of 3	104/\$270	204/\$135	Multiple dependent claim	109/\$80	209/\$40	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent																																																
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																										
101/\$710	201/\$355	Utility Filing	<input type="text"/>																																																																																										
106/\$320	206/\$160	Design Filing	<input type="text"/>																																																																																										
108/\$710	208/\$355	Reissue	<input type="text"/>																																																																																										
114/\$150	214/\$75	Provisional Filing	<input type="text"/>																																																																																										
SUBTOTAL (1)			(\$)0.00																																																																																										
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description																																																																																											
103/\$18	203/\$9	Claims in excess of 20																																																																																											
102/\$80	202/\$40	Independent claims in excess of 3																																																																																											
104/\$270	204/\$135	Multiple dependent claim																																																																																											
109/\$80	209/\$40	Reissue independent claims over original patent																																																																																											
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent																																																																																											
<table border="1"> <thead> <tr> <th colspan="2">(Col. 1)</th> <th colspan="2">(Col. 2)</th> <th colspan="2">(Col. 3)</th> <th rowspan="2">Fee</th> <th rowspan="2">Fee Due</th> </tr> <tr> <th>For</th> <th>No. of Existing Claims</th> <th>minus*</th> <th>Highest No. Previously Paid For</th> <th>=</th> <th>Extra**</th> </tr> </thead> <tbody> <tr> <td>TOTAL</td> <td></td> <td>minus*</td> <td>20 or 0</td> <td>=</td> <td></td> <td>x</td> <td></td> </tr> <tr> <td>INDEP</td> <td></td> <td>minus*</td> <td>3 or 0</td> <td>=</td> <td></td> <td>x</td> <td></td> </tr> <tr> <td colspan="7"> <input type="checkbox"/> First presentation of multiple dependent claim </td> <td></td> </tr> <tr> <td colspan="7">SUBTOTAL (2)</td> <td>(\$)</td> </tr> </tbody> </table>				(Col. 1)		(Col. 2)		(Col. 3)		Fee	Fee Due	For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**	TOTAL		minus*	20 or 0	=		x		INDEP		minus*	3 or 0	=		x		<input type="checkbox"/> First presentation of multiple dependent claim								SUBTOTAL (2)							(\$)																																												
(Col. 1)		(Col. 2)		(Col. 3)		Fee	Fee Due																																																																																						
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**																																																																																								
TOTAL		minus*	20 or 0	=		x																																																																																							
INDEP		minus*	3 or 0	=		x																																																																																							
<input type="checkbox"/> First presentation of multiple dependent claim																																																																																													
SUBTOTAL (2)							(\$)																																																																																						

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Daniel R. Brownstone	Reg. Number	46,581
Signature		Date	2 Aug 2001

08-06-01

03CO/18



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/767,365	01/22/2001	Sheng Liang	22271-05227

758
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO, CA 94306



CONFIRMATION NO. 2538

FORMALITIES LETTER



OC00000006335892

Date Mailed: 07/25/2001

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on to the Notice mailed and it has been entered into the nonprovisional application. The reply, however, doesnot include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may,however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a)accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

FOI 080 59229260